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IMPLEMENTATION OF APPROVED CHANGES IN THE FITNESS REPORT PROGRAM

1. Background

a. On 1 June 1973 the CIA Management Committee considered the Director of Personnel's report of his Review of the Fitness Report Program. A copy of Mr. Colby's memorandum introducing this agenda item is attached (Tab A). The report contained the following conclusions and recommendations:

Conclusions:

(1) The job performance evaluation system should be designed to promote communication and understanding between supervisors and employees with respect to the work at hand. It should be administered to stimulate, motivate and encourage productivity. Ideally, the system would formalize evaluations of performance which are already known to employees through day-to-day communications with their superiors. In this context, the employee should be aware of the written record of his job performance and all items used to record the specifics of that performance, and he should be permitted to comment on the record if he chooses.

(2) An appraisal system which is meant to inform employees concerning their job performance must be designed and administered quite apart from other systems which evaluate employees comparatively in terms of such factors as career potential and promotability. Appraisals of such factors as career potential and promotability go beyond current work performance and involve elements and person-to-person comparisons which would be counter-productive if made known to the employees concerned. The several Career Services have developed a variety of systems to facilitate comparative evaluations of their members for such purposes as career development, assignment, promotion and selection-out. They should be encouraged to continue to develop and improve these systems as best suited to their peculiar needs. It would serve no purpose to try to impose an Agency-wide system or format for these evaluations.

(3) Greater emphasis should be placed on the enrollment of supervisors in the Performance Appraisal Workshop conducted by the Office of Training. Currently, there is no mention in Agency Regulations concerning training of supervisors in the use of the Fitness Report or performance evaluation.

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(4) The current Fitness Report program is generally in tune with up-to-date developments on job performance evaluation and is well suited to the Agency's need for such a system, although certain changes can be made in the program to improve its usefulness in the foreseeable future.

Recommendations:

(1) Place the employee signature block as the last item on the Form and revise the certification statement to indicate that the employee has seen all entries on the Form.

(2) Add in the certification block an invitation to the employee to attach any comment (not necessarily in rebuttal) which he feels will contribute to the record of his job performance and require him to check an appropriate box indicating that he has or has not chosen to do so.

(3) Revise the Fitness Report Instructions to reemphasize that evaluations and narrative comments should relate to job performance and that any comments concerning potential should be confined to factors related to job requirements.

(4) Include in the Instructions a requirement that reviewing officials confine their comments to the evaluation of the person being rated and not to include an evaluation of the rating official.

(5) Include in the Instructions a requirement that rating officials comment on the rating performance of those employees who are themselves rating officials.

(6) Forward a copy of the revised Fitness Report Instructions with each set of three Fitness Report Forms for review by the rating and reviewing officials before completing the Fitness Report.

(7) Revise Agency Regulations to make the Deputy Directors responsible for providing instructions and guidance in adapting the use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction.

(8) Revise Agency Regulations to make the Deputy Directors responsible for providing guidance to the Heads of Career Services under their jurisdictions in developing and administering systems for appraising such factors as promotability and career potential.

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(9) Revise Agency Regulations to make the Director of Training responsible for providing instruction in job performance evaluation for all supervisors, including instruction in the use of the Fitness Report Form and emphasizing the development of skills in conducting job performance evaluation interviews.

b. After the meeting Mr. Colby approved the report and directed the Director of Personnel to implement it with the following additions:

(1) Letters of Instruction will be used by all to establish what is expected from the individual; i.e., goals and objectives. Ratings then will relate to how individual achieved the established objectives.

(2) Mr. Colby wants the employee to review the rater's comments and then to comment himself as he desires. The reviewing officer then adds his comments and the ratee sees the entire report.

2. Recommendation

It is recommended that the Director of Personnel initiate implementation of the approved changes in the personnel evaluation system by requesting publication of modifications to Agency regulations and the Fitness Report format and Instructions as shown in Tab B.

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TAB A

MEMORANDUM FOR: CIA Management Committee

SUBJECT: Review of Fitness Report Program

1. On 12 December 1972 the Director of Personnel completed a comprehensive review of the Agency's Fitness Report program and forwarded the results of his study to the undersigned. Copies of the study have been provided each of the Deputy Directors.

2. The Director of Personnel's review was undertaken in terms of current Agency needs in performance evaluation and the general direction of trends in this area elsewhere.

3. Two questions were of significance in the Director of Personnel's study. (a) what exactly should a performance appraisal system be designed to evaluate; and (b) in a performance appraisal system, should the employee be permitted to see his complete evaluation record. This second question has additional criticality in that the Agency's current policy permitting confidential treatment of the reviewing official's comments on Fitness Reports is the one factor which prevents an employee from being allowed to review his own Official Personnel Folder.

4. The performance evaluation systems of seven large industrial concerns were reviewed. The systems in all seven companies are essentially results-oriented; that is, they are concerned primarily with the productive effect of job performance as opposed to the assessment of personality factors of the individuals concerned. The employees concerned see their recorded performance appraisals in four of these systems. Employees are not shown their appraisals in the other three systems, which in each case supplement the performance evaluation with additional considerations of potential and promotability.

5. Elsewhere in the Government action is being taken by the Civil Service Commission to permit greater freedom to Federal agencies in developing performance evaluation systems to meet their particular needs.

(This Agency has always been exempt from the Performance Rating Act which governs performance evaluation in the Federal service generally.) This largely includes the revision of systems to permit employees to review their official performance rating records. The State Department has recently revised the Foreign Affairs Manual to require that the rated officer be permitted to review his Fitness Report and the reviewing officer's comments.

6. Comments solicited within this Agency indicate that there is near unanimity in the view that employees should have access to all the information in their official performance rating records. This includes the comments of reviewing officials, which should be directed toward performance. A majority of members, however, of the Deputy Director for Operations' Personnel Management Committee hold that reviewing officials should have the option of showing their comments to the rated employee.

7. As a result of his findings, the Director of Personnel concluded that the job performance evaluation system should be designed to promote communication and understanding between supervisors and employees with respect to the work at hand. In this context the employee should be aware of the written record of his job performance and all items needed to record the specifics of that performance, and he should be permitted to comment on the record if he chooses.

8. The conclusion was reached that an appraisal system that is meant to inform employees concerning their job performance must be designed and administered quite apart from other systems which evaluate employees comparatively in terms of such factors as long-range career potential and promotability.

9. The following major recommendations were made by the Director of Personnel:

a. Revise the Fitness Report Form to indicate that the employee has seen all entries on the Form, including the reviewing official's comments and that he is aware that he may make any comment concerning the record that he chooses.

b. Revise the Fitness Report instructions to emphasize that evaluations should relate to job performance only and that reviewing officials should confine their comments to the evaluation of the person being rated and not an evaluation of the rating official.

c. Revise Agency regulations to make the Deputy Directors responsible for providing guidance to the Heads of Career services under their jurisdictions in developing separate systems for appraising such factors as promotability and career potential.

William E. Colby
Executive Secretary
CIS Management Committee

TAB B

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1. Approved Recommendations

a. Place the employee signature block as the last item on the Form and revise the certification statement to indicate that the employee has seen all entries on the Form.

b. Add in the certification block an invitation to the employee to attach any comment (not necessarily in rebuttal) which he feels will contribute to the record of his job performance and require him to check an appropriate box indicating that he has or has not chosen to do so.

c. Revise the Fitness Report Instructions to reemphasize that evaluations and narrative comments should relate to job performance and that any comments concerning potential should be confined to factors related to job requirements.

d. Include in the Instructions a requirement that reviewing officials confine their comments to the evaluation of the person being rated and not to include an evaluation of the rating official.

e. Include in the Instructions a requirement that rating officials comment on the rating performance of those employees who are themselves rating officials.

f. Forward a copy of the revised Fitness Report Instructions with each set of three Fitness Report Forms for review by the rating and reviewing officials before completing the Fitness Report.

g. Revise Agency Regulations to make the Deputy Directors responsible for providing instructions and guidance in adapting the use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction.

h. Revise Agency Regulations to make the Deputy Directors responsible for providing guidance to the Heads of Career Services under their jurisdictions in developing and administering systems for appraising such factors as promotability and career potential.

i. Revise Agency Regulations to make the Director of Training responsible for providing instruction in job performance evaluation for all supervisors, including instruction in the use of the Fitness Report Form and emphasizing the development of skills in conducting job performance evaluation interviews.

2. After the meeting Mr. Colby approved the report and directed the Director of Personnel to implement it with the following additions:

a. Letters of Instruction will be used by all to establish what is expected from the individual; i.e., goals and objectives. Ratings then will relate to how individual achieved the established objectives.

b. Mr. Colby wants the employee to review the rater's comments and then to comment himself as he desires. The reviewing officer then adds his comments and the ratee sees the entire report.

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20. PERSONNEL EVALUATION

a. POLICY. Evaluations of employees' job performance and of their relative capabilities and potential are inherent in personnel management and should be as objective as possible. The Agency's personnel evaluation program includes an Agency-wide system for job performance evaluation and competitive evaluation systems suited to the selection requirements of the Directorates and the Career Services.

- (1) Performance Evaluation. The Agency's performance evaluation system is designed to promote communication and understanding between supervisors and employees with respect to their performance of their assigned duties and to provide an official record of employees' job performance in terms of Agency-wide criteria.
- (2) Comparative Evaluation. Systems for evaluating the relative capabilities and potential of employees are designed to facilitate selection decisions involving their utilization, promotion and retention. These systems should include comparative evaluations of all factors pertinent to the selection decision and should exclude consideration of factors which have no real bearing on the decision. The results of these comparative evaluations are of transient value since they pertain to comparisons between members of particular groups and to specific

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selection considerations at given points in time. They are not recorded in official Agency records and usually are not made known to the employees concerned.

- b. PERFORMANCE EVALUATION. Continuous evaluation of the performance of employees by their supervisors is an essential element of the Agency's personnel management program.

(1) Policy.

- (a) Supervisors will ensure that employees understand the nature and scope of their duties and responsibilities and are continuously advised as to the effectiveness of their performance.
- (b) Evaluations of the performance of staff employees and staff agents will be recorded in official Agency personnel records at least once each year. Employees will be shown the reports of their performance evaluations except when operational circumstances, security considerations or other unusual conditions make it impractical or ill-advised to do so. If he does not show the employee his performance evaluation report the supervisor will explain in the report the reasons for such action.

- (2) Letters of Instruction. Supervisors will provide employees written statements of the nature and scope of their work. These statements will be revised to record any significant change in their duties and responsibilities. Supervisors

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will also participate with employees in defining annual performance objectives and action plans which specify the timing of results which the employees intend to accomplish. These objectives and plans establish the standards for evaluating each employee's performance in terms of his productivity during the following year. Performance objectives and action plans will be revised to record significant qualitative or quantitative changes in productivity goals.

(3) Recording Performance Evaluations

- (a) The Fitness Report (Forms 45, 45k, and 45m) will be used to record performance evaluations and will be prepared and submitted in accordance with the instructions contained in Forms 45i, Directions for Completing Forms 45, 45k, and 45m, Fitness Report.
- (b) A memorandum in lieu of Form 45 is permitted for employees in grade GS-14 and above when it is clearly established that such a substitute is appropriate and not merely an avoidance of specificity. When a memorandum is used, care should be taken to ensure that the purposes of a Fitness Report are observed. The memorandum will be prepared in accordance with instructions contained in Form 45i. A memorandum in lieu of Form 45k or 45m will not be used for a Career-Provisional Employee.
- (c) Promotion recommendations will not be made on Fitness Reports.


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- (4) Submission of Reports (No change)
- (5) Notice of Fitness Reports Due and Delinquent (No change)
- (6) Responsibilities
 - (a) The Director of Personnel is responsible for developing and monitoring the Agency's program for producing timely and useful records of the evaluations of employees' job performance.
 - (b) The Director of Training, in consultation with Operating Officials, is responsible for providing their supervisors with instruction in job performance evaluation for all supervisors including the development of Letters of Instruction, performance objectives and action plans, the conduct of performance evaluation interviews, and the use of the Fitness Report Form.
 - (c) Deputy Directors are responsible for providing instructions and guidance in adopting use of Fitness Reports so as to best evaluate the job performance of employees within their areas of jurisdiction.
 - (d) The Heads of Independent Offices, Operating Officials, and supervisors are responsible:
 - (1) For ensuring that employees are informed continuously as to the nature and scope of their duties and responsibilities;
 - (2) For assisting employees in defining annual performance objectives and action plans;

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- (3) For continually informing employees of the effectiveness of their job performance; and,
 - (4) For reporting evaluations of employee performance in Fitness Reports in accordance with paragraph (3) above.
 - (7) Appeals. In addition to adding his comments to his Fitness Report, an employee who so desires may appeal his performance evaluation in accordance with provisions of  Grievance Procedure.
- c. COMPARATIVE EVALUATION. Deputy Directors will guide the Heads of Career Services under their jurisdiction in developing and administering systems for comparing the relative capabilities and potential of employees as pertinent to their selection for assignment, advancement and retention. The Director of Personnel will assist in the development and operation of such comparative evaluation systems and will review them from time to time to ensure their continuing relevance to the selection factors under consideration.

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SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

SECTION B — QUALIFICATIONS UPDATE

Use this Section to indicate whether the employee's qualifications are updated during this reporting period, and whether they are attached.

SECTION C — PERFORMANCE EVALUATION OF SPECIFIC DUTIES AND OVERALL PERFORMANCE IN CURRENT POSITION

Rating Scale

The rating scale as set forth in this section in Forms 45, 45k, and 45m, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. Use a single rating letter without the addition of decimals, plus or minus signs, or other modifications. In making your selection of the adjective evaluation for Section C and in completion of the narrative in Section D the following factors should be considered as appropriate:

Contribution to EEO

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline

Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

Rating of Overall Performance in Current Position

Sensitivity to the principles of equal employment opportunity should, in addition to the principles of equal employment opportunity, consider the employee's advancement and his activity, working relationships and adaptability in order to arrive at a rating which will reflect an employee's overall value on the job. Although promotability may be considered in the evaluation, no specific promotion recommendations will be made on Fitness Reports. (Promotion recommendations will be made in accordance with)

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SECTION D — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Except for Career Provisional Employee as specified below, any comments concerning potential should be confined to factors related to current work requirements and within the control of the rating or reviewing officials. Full narrative comments should be made on each appropriate element. The narrative comments may include reference to a specific duty. Any weakness noted in a prior year's fitness report must be commented on in the subsequent fitness report.

Statements such as "no change from previous report" will not be used. Any relatively high or low ratings in Section C should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which might affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. Manner of performance of managerial and supervisory duties and cost consciousness in the use of personnel, space, equipment, and funds must be commented on for all employees who have responsibility for managing Agency assets. These comments must include an evaluation of the employee's performance in rating subordinates. (If the employee being rated does not have such responsibilities, a statement to that effect must be included.) In evaluating managerial and supervisory effectiveness, the following factors should be considered:

Delegation of responsibility
Establishment and maintenance of clear lines of authority
Use of personnel, space, equipment, funds, etc.
Formulation and coordination of programs
Developing teamwork

In completing the ratings on Career-Provisional Employees, comment should be made on the intent, capability, and desire of the employee to fulfill the service obligations of the Career Service to which he is assigned. All reports for Career-Provisional Employees, including Reassignment and Special reports, will contain specific statements concerning (1) the employee's suitability for continued service and (2) his potential for conversion to a Career Employee. The 30-month reports will be forwarded with Form 45r containing the recommendation of the Head of the employee's Career Service as to whether he should be converted to a Career Employee.

SECTION E — CERTIFICATION AND COMMENTS

Rating officers will certify on the Fitness Report that poor performance, when it occurs, has been a subject of discussion with the employee preferably before but at least at the time of the fitness report.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should, as a matter of practice, provide their own evaluation by positive comment on the performance of the individual being rated. If the reviewing official is in substantial disagreement with the rating official he should discuss the evaluation with the rating official and the employee. Follow-up action on the Marginal and Unsatisfactory ratings is also a reviewing official responsibility. The person being rated may attach to his Fitness Report a memorandum containing any comment which he feels will contribute to the record of his job performance. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

SECTION D

NARRATIVE COMMENTS

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section C to provide basis for determining future personnel action. Manner of performance of managerial or supervisory duties and cost consciousness in the use of personnel, space, equipment and funds, must be commented on, if applicable. If extra space is needed to complete Section D, attach a separate sheet of paper.

SECTION E

CERTIFICATION AND COMMENTS

1. BY SUPERVISOR		
MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	
DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE
I <input type="checkbox"/> have <input type="checkbox"/> have not attached a statement concerning this evaluation of my performance.		
DATE	SIGNATURE OF EMPLOYEE	
2. BY REVIEWING OFFICIAL		
COMMENTS OF REVIEWING OFFICIAL		
DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE
3. BY EMPLOYEE		
I certify that I have seen the entries in all sections of this report.		
DATE	SIGNATURE OF EMPLOYEE	

CLASSIFICATION